



GAU 2731
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Due Date: August 2, 1999

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

AUG 6 - 1999

Group 2700

Applicant: Kevin S. McCurley et al. Examiner: Not yet assigned
Serial No.: 09/260,448 Group Art Unit: 2731
Filed: March 2, 1999 Docket: AM9-98-125
Title: SECURE USER-LEVEL TUNNELS ON THE INTERNET

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on August 2, 1999.

By: [Signature]

Name: George H. Gates

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing a Certificate of Mailing under 37 CFR 1.8.
- ☒ Information Disclosure Statement and Form PTO-1449.
- ☒ Cited Reference(s).
- ☒ Return postcard.

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers, if appropriate.

Please charge all fees to Deposit Account No. 09-0441 of IBM Corporation, the assignee of the present application. A duplicate of this paper is enclosed.

GATES & COOPER
Howard Hughes Center
6701 Center Drive West, Suite 1050
Los Angeles, CA 90045
(310) 641-8797

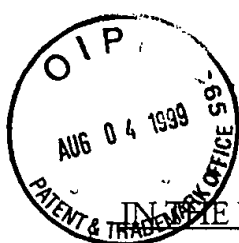
By: [Signature]

Name: George H. Gates

Reg. No.: 33,500

GHG/amb

(PTO TRANSMITTAL - GENERAL)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#2
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By:
Name: George H. Gates

INFORMATION DISCLOSURE STATEMENT(37 C.F.R. §1.97(b))

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted before the mailing date of a first Office Action on-the-merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

In accordance with 37 C.F.R. §1.98(a)(2), a copy of each document or other information listed on the enclosed Form 1449 is provided, unless otherwise noted.

Applicant's believe the following references may be relevant:

[2] Steve Bellovin, "Problem Areas for the IP Security Protocols", USENIX Security Conference, 1996. Available from <ftp://ftp.research.att.com/dist/amb/badesp.ps>.

[6] Internet Assigned Number Authority, "Directory of Assigned TCP/UDP Port Numbers", available online from <ftp://ftp.isi.edu/innotes/iana/assignments/port-numbers>.

[11] D. L. McDonald, "A Simple IP Security API Extension to BSD Sockets", Internet Draft draft-mcdonald-simple-ipsec-api-01.txt, available at [http://globecom.net/\(nobg\)/ietf/draft/draft-mcdonald-simple-ipsec-api-01.shtml](http://globecom.net/(nobg)/ietf/draft/draft-mcdonald-simple-ipsec-api-01.shtml).

[12] M. VanHeyningen, "Secure Sockets Layer for SOCKS Version 5", Internet Draft draft-ietf-aft-socks-ssl-00, available at <http://info.internet.isi.edu:80/in-drafts/files/draft-ietf-aft-socks-ssl-00-txt>.

However, the URL's for these references have expired or are no longer valid. Thus, Applicants could not obtain copies of the references. Nonetheless, the references are being brought to the attention of the Office to fulfill Applicants' duty under 37 C.F.R. §1.56.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art". Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please direct any response or inquiry to the below-signed attorney at (310) 641-8797.

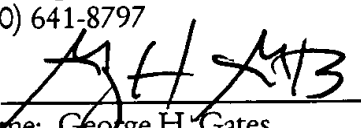
Respectfully submitted,

Kevin S. McCurley et al.

By their attorneys,

GATES & COOPER
6701 Center Drive West, Suite 1050
Los Angeles, California 90045
(310) 641-8797

Date: August 02 1999

By: 
Name: George H. Gates
Reg. No.: 33,500
GHG/ab